



U.S. Express Mail Label No. EV 386826301 US

PTO/SB/21 (08-03)

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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|  |                         |                              |        |
|--|-------------------------|------------------------------|--------|
| <b>TRANSMITTAL FORM</b><br><i>(to be used for all correspondence after initial filing)</i> | Application Number      | 09/603,020                   |        |
|  | Filing Date             | June 26, 2000                |        |
|  | First Named Inventor    | Kevin D. Howard              |        |
|  | Art Unit                | 2143                         |        |
|  | Examiner Name           | Jaroenchonwanit, [illegible] |        |
| Total Number of Pages in This Submission   | 22 pages + 6 references | Attorney Docket Number       | 387785 |

**RECEIVED**  
MAY 13 2004  
Technology Center 2100

| ENCLOSURES (check all that apply)  |  |  |
|--|--|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input checked="" type="checkbox"/> Amendment / Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input checked="" type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/Incomplete Application<br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input checked="" type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation<br>Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Other Enclosure(s)<br>(please identify below):<br>-Copies of 5 cited references<br>-Substitute for Form 1449/APTO<br>-Request to Correct Inventorship<br>-Certificate of Mailing<br>-Return Postcard |
| Remarks  |  |  |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT |                                 |
|--|---------------------------------|
| Firm or Individual name                    | Curtis A. Vock, Reg. No. 38,356 |
| Signature                                  |                                 |
| Date                                       | 06 May 2004                     |

| CERTIFICATE OF MAILING 37 CFR 1.10   |             |      |             |
|--|-------------|------|-------------|
| I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service ["Express Mail Post Office to Addressee" service] with sufficient postage in an envelope addressed to: ATTN: FEE AMENDMENT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. |             |      |             |
| Typed or printed name  | Linda Levin | Date | 06 May 2004 |
| Signature  |             | Date | 06 May 2004 |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**FEE TRANSMITTAL  
for FY 2004**

Effective 10/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$) 520**Complete if Known**

|                      |                         |
|----------------------|-------------------------|
| Application Number   | 09/603,020              |
| Filing Date          | 26 June 2000            |
| First Named Inventor | Kevin D. Howard         |
| Examiner Name        | Jaroenchonwanit, Bunjod |
| Art Unit             | 2143                    |
| Attorney Docket No.  | 387785                  |

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MAY 13 2004

Technology Center 2100

**METHOD OF PAYMENT (check all that apply)**
☐ Check ☐ Credit card ☐ Money ☐ Other ☐ None  
Order
☒ Deposit Account:

Deposit Account Number 12-0600

Deposit Account Name Lathrop &amp; Gage

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments  
☐ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, **except for the filing fee** to the above-identified deposit account.
**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity        |          | Small Entity |          | Fee Description        | Fee Paid |
|---------------------|----------|--------------|----------|------------------------|----------|
| Fee Code            | Fee (\$) | Fee Code     | Fee (\$) |                        |          |
| 1001                | 770      | 2001         | 385      | Utility filing fee     |          |
| 1002                | 340      | 2002         | 170      | Design filing fee      |          |
| 1003                | 530      | 2003         | 265      | Plant filing fee       |          |
| 1004                | 770      | 2004         | 385      | Reissue filing fee     |          |
| 1005                | 160      | 2005         | 80       | Provisional filing fee |          |
| <b>SUBTOTAL (1)</b> |          |              |          |                        | (\$) 0   |

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

|                    |    |        |   |   |   |                |   |   |          |
|--------------------|----|--------|---|---|---|----------------|---|---|----------|
| Total Claims       | 29 | -32 ** | = | 0 | X | Fee from below | = | 0 | Fee Paid |
| Independent Claims | 3  | -3 **  | = | 0 | X |                | = | 0 |          |
| Multiple Dependent | 0  |        |   |   | X |                | = | 0 |          |

| Large Entity        |          | Small Entity |          | Fee Description  | Fee Paid |
|---------------------|----------|--------------|----------|--|----------|
| Fee Code            | Fee (\$) | Fee Code     | Fee (\$) |  |          |
| 1202                | 18       | 2202         | 9        | Claims in excess of 20                                     |          |
| 1201                | 86       | 2201         | 43       | Independent claims in excess of 3                          |          |
| 1203                | 290      | 2203         | 145      | Multiple dependent claim, if not paid                      |          |
| 1204                | 86       | 2204         | 43       | ** Reissue independent claims over original patent         |          |
| 1205                | 18       | 2205         | 9        | ** Reissue claims in excess of 20 and over original patent |          |
| <b>SUBTOTAL (2)</b> |          |              |          |  | (\$) 0   |

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Large Entity |          | Small Entity |          | Fee Description  | Fee Paid |
|--------------|----------|--------------|----------|--|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |  |          |
| 1051         | 130      | 2051         | 65       | Surcharge - late filing fee or oath  |          |
| 1052         | 50       | 2052         | 25       | Surcharge - late provisional filing fee or cover sheet.                    |          |
| 1053         | 130      | 1053         | 130      | Non-English specification  |          |
| 1812         | 2,520    | 1812         | 2,520    | For filing a request for reexamination                                     |          |
| 1804         | 920*     | 1804         | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 1805         | 1,840*   | 1805         | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 1251         | 110      | 2251         | 55       | Extension for reply within first month                                     |          |
| 1252         | 420      | 2252         | 210      | Extension for reply within second month                                    | 210      |
| 1253         | 950      | 2253         | 475      | Extension for reply within third month                                     |          |
| 1254         | 1,480    | 2254         | 740      | Extension for reply within fourth month                                    |          |
| 1255         | 2,010    | 2255         | 1,005    | Extension for reply within fifth month                                     |          |
| 1401         | 330      | 2401         | 165      | Notice of Appeal   |          |
| 1402         | 330      | 2402         | 165      | Filing a brief in support of an appeal                                     |          |
| 1403         | 290      | 2403         | 145      | Request for oral hearing   |          |
| 1451         | 1,510    | 1451         | 1,510    | Petition to institute a public use proceeding                              |          |
| 1452         | 110      | 2452         | 55       | Petition to revive - unavoidable   |          |
| 1453         | 1,330    | 2453         | 665      | Petition to revive - unintentional   |          |
| 1501         | 1,330    | 2501         | 665      | Utility issue fee (or reissue)   |          |
| 1502         | 480      | 2502         | 240      | Design issue fee   |          |
| 1503         | 640      | 2503         | 320      | Plant issue fee  |          |
| 1460         | 130      | 1460         | 130      | Petitions to the Commissioner  | 130      |
| 1807         | 50       | 1807         | 50       | Processing fee under 37 CFR 1.17 (q)                                       |          |
| 1806         | 180      | 1806         | 180      | Submission of Information Disclosure Stmt                                  | 180      |
| 8021         | 40       | 8021         | 40       | Recording each patent assignment per property (times number of properties) |          |
| 1809         | 770      | 2809         | 385      | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 1810         | 770      | 2810         | 385      | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 1801         | 770      | 2801         | 385      | Request for Continued Examination (RCE)                                    |          |
| 1802         | 900      | 1802         | 900      | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

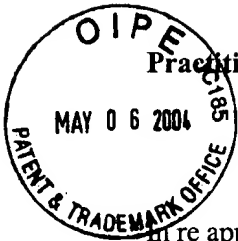
**SUBTOTAL (3)** (\$) 520**SUBMITTED BY****Complete (if applicable)**

|                   |                       |                                   |             |           |              |
|-------------------|-----------------------|-----------------------------------|-------------|-----------|--------------|
| Name (Print/Type) | Curtis A. Vock        | Registration No. (Attorney/Agent) | 38,356      | Telephone | 720-931-3011 |
| Signature         | <i>Curtis A. Vock</i> | Date                              | 06 May 2004 |           |              |

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Practitioner's Docket No. 387785

IN THE UNITED STATES PATENT OFFICE

PATENT  
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MAY 13 2004

In re application of: Kevin D. Howard et al.

Application No.: 09/603,020

Filed: June 26, 2000

Group No.: 2143

Examiner: Jaroenchonwanit, Bunjob

Technology Center 2100

For: COLLECTIVE NETWORK PROCESSING SYSTEM AND METHODS

Mail Stop Fee Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

CERTIFICATE OF MAILING  
via EXPRESS MAIL

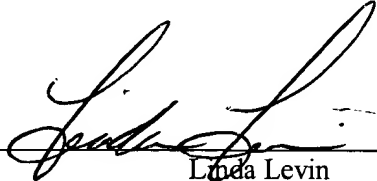
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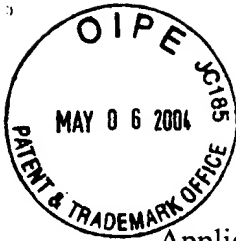
Date of Deposit: 06 May 2004

I hereby state that the following *attached* papers:

- 1) Transmittal Form SB-21 (1 page);
- 2) Fee Transmittal authorizing charges to Deposit Account, in duplicate (2 pages);
- 3) Petition for 2 Month Extension authorizing charges to Deposit Account, in duplicate (2 pages);
- 4) Request to Correct Inventorship in a Nonprovisional Application (2 pages);
- 5) Response to Office Action mailed November 28, 2003 (11 pages);
- 6) Information Disclosure Statement Transmittal (1 page);
- 7) Substitute for Form 1449A/PTO (2 pages);
- 8) Copies of 6 cited references;
- 9) Certificate of Mailing (1 page), and
- 10) Return Postcard

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10, on the date indicated above, and in an envelope addressed to: Mail Stop Fee Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

  
Linda Levin



**PATENT**  
Attorney Docket No. 387785  
Express Mail Label No. EV 386826301 US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s) Kevin D. Howard [as corrected]

Serial No.: 09/603,020

Examiner: Jaroenchonwanit,  
Bunjob

Filed: 26 June 2002

Art Unit: 2143

For: **COLLECTIVE NETWORK PROCESSING SYSTEM AND METHODS**

**RECEIVED**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

MAY 13 2004

Technology Center 2100

**REQUEST TO CORRECT INVENTORSHIP IN A NONPROVISIONAL APPLICATION  
Under 37 C.F.R. §1.48(b)**

Dear Sir:

Applicants request a change of inventorship in accordance with the provisions of 37 C.F.R. §1.48(b). Due to amendment of the claims, inventions of Gerard A. Verbeck and Scott A. Smith are no longer claimed in the above-referenced nonprovisional application.

1. The following persons are currently listed as the inventors of this application:

Kevin D. Howard

Gerard A. Verbeck

Scott A. Smith

2. Applicants request correction of inventorship to list the following person as sole inventor in the above-referenced nonprovisional application:

05/11/2004 DEMMANU1 00000002 120600 09603020

Kevin D. Howard

02 FC:1460 130.00 DA

3. Pursuant 37 C.F.R. §1.48(b), this Request is accompanied by the a fee transmittal authorizing the Commissioner to charge Deposit Account No. 12-0600 for the \$130 fee required under 37 C.F.R. 1.17(i).

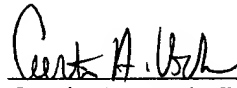
~~05/11/2004 DEMMANU1 00000001 120600 09603020~~

~~02 FC:1460 130.00 DA~~

Applicants believe no further fees are due, however, should any additional fee be deemed necessary in connection with this Request, the Commissioner is authorized to charge Deposit Account 12-0600. Should any questions arise, please contact the attorney whose signature appears below.

Respectfully submitted,

Date: May 6, 2004

  
Curtis A. Vock, Reg. No. 38,356  
LATHROP & GAGE L.C.  
4845 Pearl East Circle, Suite 300  
Boulder, Colorado 80301  
Tele: (720) 931-3011  
Fax: (720) 931-3001